

**UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK**

CAPITAL ONE FINANCIAL CORPORATION
AND CAPITAL ONE INVESTING, LLC,

Plaintiffs,

v.

JAN HUMMER, FINANCIAL INDUSTRY
REGULATORY AUTHORITY, INC., FINRA
REGULATION, INC. F/K/A FINRA DISPUTE
RESOLUTION, INC.,

Defendants.

Case 1:19-cv-11582-VSB

**USDC SDNY
DOCUMENT
ELECTRONICALLY FILED
DOC #:
DATE FILED: 6/9/2020**

ORDER

VERNON S. BRODERICK, United States District Judge:

ORDERED that Plaintiffs are GRANTED the Permanent Injunction requested in the Amended Complaint [Doc. 2].

IT IS FURTHER ORDERED that Defendant Jan Hummer (“Hummer”) is permanently enjoined from pursuing her claims and causes of action against Plaintiffs in the arbitration captioned as, *Jan Hummer v. Capital One Investing, LLC*, FINRA Case No. 19-02199 (the “FINRA Arbitration”).

IT IS FURTHER ORDERED that Hummer is permanently enjoined from asserting any other claims or causes of action as against Plaintiffs arising out of or in connection with those asserted in the FINRA Arbitration before the Defendants Financial Industry Regulatory Authority, Inc. and FINRA Regulation Inc. F/K/A FINRA Dispute Resolution, Inc.

IT IS FURTHER ORDERED that to the extent the Parties comply with this Order, the Parties shall bear their own fees and costs associated with this Action and the FINRA Arbitration.

This Action is hereby dismissed in its entirety and without prejudice.

The Clerk of Court is respectfully directed to close this case.

SO ORDERED

Date: June 9, 2020



Vernon S. Broderick
United States District Judge

ON CONSENT AND STIPULATION OF THE PARTIES

Dated: May 18, 2020

<p><u>/s/ Stephen J. Steinlight</u> Stephen J. Steinlight, Esq. (#4058335) Troutman Sanders LLP 875 Third Avenue New York, NY 10022 Telephone: (212) 704-6000 Facsimile: (212) 704-6288 Email: stephen.steinlight@troutman.com</p> <p>Jon S. Hubbard, Esq. (admitted <i>pro hac vice</i>) Troutman Sanders LLP 1001 Haxall Point Richmond, VA 23219 Telephone: (804) 697-1200 Facsimile: (804) 697-1339 Email: jon.hubbard@troutman.com <i>Attorneys for Plaintiffs</i> <i>Capital One Financial Corporation</i> <i>and Capital One Investing LLC</i></p>	<p><u>/s/ Steven B. Caruso</u> Steven B. Caruso, Esq. (#1701598) Maddox Hargett & Caruso, P.C. 80 Broad Street, 5th Floor New York, NY 10004 Telephone: (212) 837-7908 Facsimile: (212) 837-7998 Email: scaruso@aol.com</p> <p>Thomas K. Caldwell (admitted <i>pro hac vice</i>) Mark E. Maddox (admitted <i>pro hac vice</i>) Maddox Hargett & Caruso, P.C. 10150 Lantern Road, Suite 175 Fishers, IN 46037 Telephone: (212) 598-2040 Facsimile: Email: tkcaldwell@mhclaw.com Email: mmaddox@mhclaw.com <i>Attorneys for Defendant Jan Hummer</i></p>
--	--